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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/006,611 | 11/30/2001 | Jun-Ichi Nezu | 06501-094001 |

CONFIRMATION NO. 1877

FORMALITIES LETTER



OC000000007468851

JANIS K. FRASER, PH.D., J.D.
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

Date Mailed: 02/13/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37

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C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov**

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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Attorney's Docket No.: 06501-094001 / C2-103PCT-US

Box 597 / \$ MP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jun-ichi Nezu et al.

Art Unit : 1645

Serial No. : 10/006,611

Examiner : Unknown

Filed : November 30, 2001

Title : LKB1 GENE KNOCKOUT ANIMALS

BOX MISSING PARTS

Commissioner for Patents

Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 U.S.C. §1.53(b) mailed February 13, 2001 (copy enclosed), applicants as a large entity submit herewith the following:

- ☒ Payment of the surcharge of \$130 for late filing of the basic filing fee and/or declaration;
- ☒ A Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;
- ☒ Transmittal of Formal Drawings, 1 pg, together with 10 pages of Formal Drawings that comply with the size requirements and that are clear and in permanent ink. The replacement contains the same material as the drawings on deposit;
- ☒ Verified Statement Under 37 CFR §1.821(f), 1 pg.; Sequence Listing, 11 pgs; Computer-readable Diskette; and
- ☒ Preliminary Amendment, 4 pgs.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

APRIL 11, 2002

Signature

Kathleen Philpot

KATHLEEN PHILPOT

Typed or Printed Name of Person Signing Certificate

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Applicant : Jun-ichi Nezu et al.
Serial No. : 10/006,611
Filed : November 30, 2001
Page : 2

Attorney's Docket No.: 06501-094001

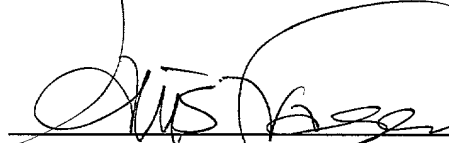
It is understood that this perfects the application and no additional papers or filing fees are required.

Please apply any other charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date

April 11, 2002



Janis K. Fraser, Ph.D., J.D.
Reg. No. 34,819

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10006611-041606



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jun-ichi Nezu et al. Art Unit : 1645
Serial No. : 10/006,611 Examiner : Unknown
Filed : November 30, 2001
Title : LKB1 GENE KNOCKOUT ANIMALS

Attention: Official Draftsman

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF FORMAL DRAWINGS

Please substitute the enclosed 10 sheets of formal drawings for the corresponding drawings presently in the application.

Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

April 11, 2002

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I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

APRIL 11, 2002
Date of Deposit
Kathleen Philpot
Signature
KATHLEEN PHILPOT
Typed or Printed Name of Person Signing Certificate